



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/083,682	10/24/2001	Alan P. Wolffe	8325-0015.20

ROBINS & PASTERNAK LLP  
Suite 200  
90 Middlefield Road  
Menlo Park, CA 94025



COPY OF PAPER  
ORIGINALLY FILED

CONFIRMATION NO. 1541

## FORMALITIES LETTER



\*OC000000007886649\*

Date Mailed: 04/17/2002

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$3552.
  - \$1872 for 104 total claims over 20.
  - \$1680 for 20 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 4422.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:


- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawings submitted to the Office are not electronically reproducible. Drawing sheets must be submitted on paper which is flexible, strong, white, smooth, non-shiny, and durable (see 37 CFR 1.84(e));

06/11/2002 YPB LITE1 00000104 10083682

01 FC:201  
02 FC:202  
03 FC:203  
04 FC:205

370.00 OP  
840.00 OP  
936.00 OP  
65.00 OP

A copy of this notice MUST be returned with the reply.

  
\_\_\_\_\_

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

100922 060702  
202009 202009



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Dkt 8325-0015.20  
S15-US2  
PATENT

MP. \$

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on 29 May 2002

5/29/02  
Date

Susan LaMont  
Signature

# IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

WOLFFE et al.

Confirmation No.: 1541

Serial No.: 10/083,682

Group Art Unit: Unassigned

Filing Date: October 24, 2001

Examiner: Unassigned

Title: DATABASES OF REGULATORY SEQUENCES; METHODS OF MAKING AND USING SAME

## TRANSMITTAL LETTER

Assistant Commissioner for Patents  
Box Missing Part  
Washington, D.C. 20231

Sir:

This is in response to the Notice to File Missing Parts dated April 17, 2002.

Transmitted herewith for filing are the following documents:

- 1) a copy of the Notice to File Missing Parts;
- 2) a Declaration for Continuation-in-Part Application (with letters appointing special administrator);
- 3) a Power of Attorney by Assignee (with a copy of the Assignment);
- 4) a Certificate Under 37 CFR 3.73(b) (with a copy of the Assignment);
- 5) a Blanket Petition for Extension of Time and Authorization to Charge or Credit Deposit Account;
- 6) 20 sheets of formal drawings;

7) a Small Entity Determination;

8) a check in the amount of \$2211 (surcharge, \$65; statutory basic filing fee, \$370; and additional claim fees, \$1776) to cover the fees required.

Applicants claim small entity status.

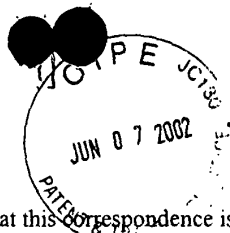
The Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16, 1.17 and 1.21 which may be required by this paper, or to credit any overpayment, to Deposit Account No. 18-1648.

Respectfully submitted,

Date: May 28, 2002

By: Dahna S. Pasternak  
Dahna S. Pasternak  
Registration No. 41,411

ROBINS & PASTERNAK LLP  
90 Middlefield Road, Suite 200  
Menlo Park, CA 94025  
Telephone: (650) 325-7812  
Fax: (650) 325-7823



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5/29/02  
Date

Susan LaMont  
Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

WOLFFE et al.

Serial No.: 10/083,682

Group Art Unit: Unassigned

Filing Date: October 24, 2001

Examiner: Unassigned

Title: DATABASES OF REGULATORY SEQUENCES; METHODS OF  
MAKING AND USING SAME

SUBMISSION OF FORMAL DRAWINGS

Assistant Commissioner for Patents

Box Issue Fee

Washington, D.C. 20231

Attention: Official Draftsman

Sir:

Enclosed are 20 sheets of formal drawings in connection with the above identified case.

Respectfully submitted,

Date: May 29, 2002

By: Dahna S. Pasternak  
Dahna S. Pasternak  
Registration No. 41,411

ROBINS & PASTERNAK LLP  
545 Middlefield Road, Suite 180  
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Atty Dkt No. 8325-0015.20  
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PATENT

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5/29/02 Susan LaMont  
Date Signature

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

WOLFFE et al.

Serial No.: 10/083,682

Group Art Unit: 1645

Filing Date: October 24, 2001

Examiner: Unassigned

Title: TARGETED MODIFICATION OF CHROMATIN STRUCTURE

**CERTIFICATE UNDER 37 CFR 3.73(b)**

SANGAMO BIOSCIENCES, INC., a corporation, certifies that it is the assignee of the entire right, title and interest in the patent application identified above by virtue of an assignment from the inventors of the patent application identified above. A copy of the assignment is attached.

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the assignee.

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Date: 5-6-02

Peter Bluford  
SANGAMO BIOSCIENCES, INC.  
Name: Peter Bluford  
Title: Vice President, Corporate Development

ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, bar number, and address): W. SCOTT THOMAS, ESQ. (STATE BAR NO. 63597) BROBECK, PHLEGER & HARRISON LLP One Market, Spear Street Tower San Francisco, CA 94105 ATTORNEY FOR (Name): Elizabeth J. Wolffe		TELEPHONE AND FAX NOS Tel: (415) 442-0900 Fax: (415) 442-1010	FOR COURT USE ONLY  <b>FILED</b> AUG 29 2001
SUPERIOR COURT OF CALIFORNIA, COUNTY OF Contra Costa STREET ADDRESS: 725 Court St., Room 103 MAILING ADDRESS: CITY AND ZIP CODE: Martinez, CA 94553-1233 BRANCH NAME:		COPY OF PAPER ORIGINALLY FILED	
ESTATE OF (Name): ALAN P. WOLFFE		DECEDENT	
<b>LETTERS</b> <input type="checkbox"/> TESTAMENTARY <input type="checkbox"/> OF ADMINISTRATION WITH WILL ANNEXED		<input type="checkbox"/> OF ADMINISTRATION <input checked="" type="checkbox"/> SPECIAL ADMINISTRATION	CASE NUMBER: P01-01211

## LETTERS

- ☐ The last will of the decedent named above having been proved, the court appoints (name):
  - ☐ executor.
  - ☐ administrator with will annexed.
- ☒ The court appoints (name): Elizabeth J. Wolffe
  - ☐ administrator of the decedent's estate.
  - ☒ special administrator of decedent's estate
    - ☒ with the special powers specified in the Order for Probate.
    - ☐ with the powers of a general administrator.
    - ☐ letters will expire on (date):
- ☐ The personal representative is authorized to administer the estate under the Independent Administration of Estates Act ☐ with full authority ☐ with limited authority (no authority, without court supervision, to (1) sell or exchange real property or (2) grant an option to purchase real property or (3) borrow money with the loan secured by an encumbrance upon real property).
- ☐ The personal representative is not authorized to take possession of money or any other property without a specific court order.

## AFFIRMATION

- ☐ PUBLIC ADMINISTRATOR: No affirmation required (Prob. Code, § 7621(c)).
- ☒ INDIVIDUAL: I solemnly affirm that I will perform the duties of personal representative according to law.
- ☐ INSTITUTIONAL FIDUCIARY (name):

I solemnly affirm that the institution will perform the duties of personal representative according to law. I make this affirmation for myself as an individual and on behalf of the institution as an officer.  
(Name and title):

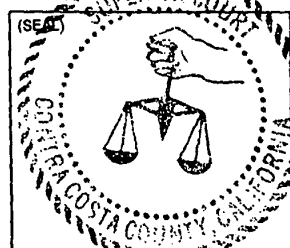
- Executed on (date): 08/29/01  
at (place): Martinez, California.

(SIGNATURE)

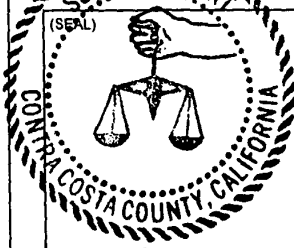
## CERTIFICATION

I certify that this document is a correct copy of the original on file in my office and the letters issued the personal representative appointed above have not been revoked, annulled, or set aside and are in full force and effect.

WITNESS, clerk of the court, with seal of the court affixed.



Date: AUG 29 2001  
Clerk, by  
Emelen dres  
(DEPUTY)  
CLERK OF THE  
SUPERIOR COURT



Date: SEP 18 2001  
Clerk, by  
[Signature]  
(DEPUTY)  
CLERK OF THE COURT



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**ESTATE OF ALAN P. WOLFFE  
CONTRA COSTA COUNTY SUPERIOR COURT**

**ATTACHMENT 3d(2) TO ORDER FOR LETTERS  
OF SPECIAL ADMINISTRATION**

ELIZABETH J. WOLFFE, is hereby appointed as Special Administrator of the Estate of ALAN P. WOLFFE, with the following special powers:

1. The power to execute patent applications and related documents as personal representative of the decedent;
2. The power to execute stock certificates and related documents as personal representative of the decedent; and
3. The power to take any other actions necessary, as personal representative, to preserve the assets of the estate.

1009333 060702  
202050 665500



ATTORNEY OR PARTY WITHOUT ATTORNEY (Name, state bar number, and address): (415) 442-0900 W. SCOTT THOMAS, ESQ. (STATE BAR NO. 63597) BROBECK, PHLEGER & HARRISON LLP One Market, Spear Street Tower  San Francisco, CA 94105 ATTORNEY FOR (Name): Elizabeth J. Wolffe		TELEPHONE AND FAX NOS.: Fax: (415) 442-1010  JUN 07 2002 PATENT & TRADEMARK OFFICE COPY OF PAPERS ORIGINALLY FILED	DE-14 FOR COURT USE ONLY  FILED AUG 29 2001 CLERK OF SUPERIOR COURT EMILY DAVIS
SUPERIOR COURT OF CALIFORNIA, COUNTY OF Contra Costa STREET ADDRESS: 725 Court St., Room 103 MAILING ADDRESS: CITY AND ZIP CODE: Martinez, CA 94553-1233 BRANCH NAME:		DECEDENT	
ESTATE OF (Name): ALAN P. WOLFFE		CASE NUMBER: PO1-01211	
ORDER FOR PROBATE ORDER APPOINTING <input type="checkbox"/> Executor <input type="checkbox"/> Administrator with Will Annexed <input type="checkbox"/> Administrator <input checked="" type="checkbox"/> Special Administrator Order Authorizing Independent Administration of Estate <input checked="" type="checkbox"/> with full authority <input type="checkbox"/> with limited authority			
WARNING: THIS APPOINTMENT IS NOT EFFECTIVE UNTIL LETTERS HAVE ISSUED.			

1. Date of hearing: \_\_\_\_\_ Time: \_\_\_\_\_ Dept./Room: \_\_\_\_\_ Judge: \_\_\_\_\_

## THE COURT FINDS

2. **a.** All notices required by law have been given.
- b.** Decedent died on (date): 05/26/01
- (1) ☒ a resident of the California county named above.
- (2) ☐ a nonresident of California and left an estate in the county named above.
- c.** Decedent died
- (1) ☐ intestate
- (2) ☒ testate
- and decedent's will dated: July 24, 1996 and each codicil dated:
- was admitted to probate by Minute Order on (date):

**THE COURT ORDERS**

3. (Name): Elizabeth J. Wolffe  
is appointed personal representative:
- a. ☐ executor of the decedent's will
- b. ☐ administrator with will annexed
- c. ☐ administrator
- d. ☒ special administrator
- D.G. ~~(1) ☒ with general powers~~
- (2) ☒ with special powers as specified in Attachment 3d(2)
- (3) ☒ without notice of hearing
- (4) ☐ letters will expire on (date):

and letters shall issue on qualification.

4. a. ☒ **Full Authority** is granted to administer the estate under the Independent Administration of Estates Act.
- b. ☐ **Limited authority** is granted to administer the estate under the Independent Administration of Estates Act (there is no authority, without court supervision, to (1) sell or exchange real property or (2) grant an option to purchase real property or (3) borrow money with the loan secured by an encumbrance upon real property).
5. a. ☒ Bond is not required.
- b. ☐ Bond is fixed at: \$ \_\_\_\_\_ to be furnished by an authorized surety company or as otherwise provided by law.
- c. ☐ Deposits of: \$ \_\_\_\_\_ are ordered to be placed in a blocked account at (specify institution and location): \_\_\_\_\_ and receipts shall be filed. No withdrawals shall be made without a court order. ☐ Additional orders in Attachment 5c.
- d. ☐ The personal representative is not authorized to take possession of money or any other property without a specific court order.
6. ☐ (Name): \_\_\_\_\_ is appointed probate referee.

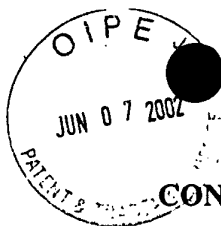
Date:

**AUG 30 2001**

JUDGE OF THE SUPERIOR COURT

7. Number of pages attached:

☐ SIGNATURE FOLLOWS LAST ATTACHMENT



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**ESTATE OF ALAN P. WOLFFE  
CONTRA COSTA COUNTY SUPERIOR COURT**

**ATTACHMENT *3d* TO PETITION FOR LETTERS  
OF SPECIAL ADMINISTRATION**

The Petitioner respectfully requests that the court grant Letters of Special Administration to the Petitioner for the purpose of endorsing certain patent applications and stock documentation in connection with the decedent's business.

The Petitioner is the decedent's surviving spouse, and is the nominated Executor and sole beneficiary under the decedent's Will. The decedent was a research scientist, employed by Sangamo BioSciences, Inc., in Richmond, California. In his capacity as employee, the decedent developed a number of inventions, which are the intellectual property of his employer. In order to apply for patents for these inventions, the Petitioner, as personal representative of the decedent, must execute certain documentation. The patent applications must be filed immediately to avoid the loss of any such intellectual property by Sangamo BioSciences, Inc.

The Petitioner has also been advised by the Board of Directors of Sangamo BioSciences, Inc. that she, as personal representative of the decedent, must execute as soon as possible certain stock certificates and other documentation, necessary to transfer the stocks to her name as personal representative, in order for her to exercise her rights as shareholder in the company. These actions are required immediately, and are necessary and proper under the circumstances.

The Petitioner, as sole beneficiary, will be filing a Spousal Property Petition to effect the transfer of the decedent's assets to her pursuant to the terms of the decedent's Will. In the interim, her immediate appointment as Special Administrator is necessary in order to orderly administer and to avoid losses by the estate.